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PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U. S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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| Substitute for form 1449A/PTO <h2 style="margin: 0;">INFORMATION DISCLOSURE STATEMENT BY APPLICANT</h2> <p style="margin: 0;">(use as many sheets as necessary)</p> | | | | Complete if Known | |
| | | Application Number | | | |
| | | Filing Date | October 12, 2001 | | |
| | | First Named Inventor | Mark Gottfried | | |
| | | Group Art Unit | | | |
| | | Examiner Name | | | |
| Sheet | 1 | of | 2 | Attorney Docket Number | EMCORE 3.0-047 |

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 09/976342
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| U.S. PATENT DOCUMENTS | | | | | | |
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| Examiner Initials* | Cite No. ¹ | U.S. Patent Document | | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Number | Kind Code ² (if known) | | | |
| | A | 5,284,798 | | <i>Ibuka et al.</i> | 02-08-1994 | |
| | B | 5,665,639 | | <i>Seppala et al.</i> | 09-09-1997 | |
| | C | 5,767,008 | | <i>Haji</i> | 06-16-1998 | |
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| | E | 6,069,066 | | <i>Huang et al.</i> | 05-30-2000 | |
| | F | 6,096,572 | | <i>Nakamura</i> | 08-01-2000 | |
| | G | 6,169,021 | | <i>Akram et al.</i> | 01-02-2001 | |
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| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | | | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ⁶ |
| | | Office ³ | Number ⁴ | Kind Code ⁵ (if known) | | | | |
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| Examiner Signature | | Date Considered | 2/10/03 |
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¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the application number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i> | | | | Application Number | |
| | | | | Filing Date | October 12, 2001 |
| | | | | First Named Inventor | Mark Gottfried |
| | | | | Group Art Unit | |
| | | | | Examiner Name | |
| Sheet | 2 | of | 2 | Attorney Docket Number | EMCORE 3.0-047 |

| OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS | | | |
|---|--------------------------|---|----------------|
| Examiner Initials | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, page(s), volume, issue number(s), publisher, city and/or country where published. | T ² |
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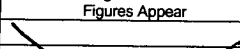
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| | | | | Application Number | 09/976,342 |
| | | | | Filing Date | October 12, 2001 |
| | | | | First Named Inventor | Mark Gottfried |
| | | | | Art Unit | 2812 |
| | | | | Examiner Name | Not Yet Assigned |
| | | | | Attorney Docket Number | EMCORE 3.0-047 |
| Sheet | 1 | of | 1 | | |

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| | B | 4,644,379 | 02-17-1987 | Hidman et al. | |
| | C | 6,107,213 | 08-22-2000 | Tayanaka | |
| | D | 6,200,827 | 03-13-2001 | Kimura et al. | |
| | E | 6,242,761 | 06-05-2001 | Fujimoto et al. | |

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| | | Country Code ³ -Number ⁴ -Kind Code ⁵ (if known) | | | | |
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|-----------------------|------------------------|--------------------|---------|
| Examiner Signature | <i>James A. Hurley</i> | Date Considered | 2/10/23 |
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| <i>JA</i> | B | 4,644,379 | 02-17-1987 | Hidman et al. | |
| <i>JA</i> | C | 6,107,213 | 08-22-2000 | Tayanaka | |
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